



Department of Business Regulation
Securities Division
1511 Pontiac Avenue, Bldg. 68-2
Cranston, RI 02920

Securities Bulletin Number 2016-2

2016 Legislative Changes

The following legislative amendments were enacted during the 2016 session of the Rhode Island General Assembly. This bulletin is being provided for informational purposes only and may not be an all-inclusive list of enactments that impact the securities industry. Licensees should refer to the statute itself ([RI Uniform Securities Act](#)) to determine the impact. The Securities Division can be reached at DBR.SecInquiry@dbr.ri.gov or (401)-462-9587 to answer any questions.

Making Government Work- Franchises and Securities

H7867A Effective June 27, 2016

S2863A Effective June 27, 2016

This legislation was introduced as part of the Department's Making Government Work process:

1. **Eliminates Two (2) Paper Copies and changes Registrant Notification Requirements to electronically notify:**
Changes the filing requirement under § 7-11.303.1 Registration by Coordination for two paper copies to an electronically filed copy or paper copy of the latest form of prospectus filed under the Securities Act of 1933, 15 U.S.C. § 77a et seq.; and for the registrant to promptly notify the director by telephone or electronic mail of the date and time when the federal registration statement became effective and any content of the price amendment and shall promptly file a post-effective amendment containing the information and documents in the price amendment.

Maria D' Alessandro
Deputy Director
Securities; Commercial Licensing; and
Racing and Athletics

August 16, 2016